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Records Management

Quality Implementing Procedure ID: OSTI-LLNL-QIP-17.0, Rev.0, Mod.0

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RECORDS MANAGEMENT

1. PURPOSE

This Quality Implementing Procedure (QIP) describes the process for the identification, creation, maintenance, and disposition of Office of Science & Technology and International (OSTI)-Lawrence Livermore National Laboratory (LLNL) records.

2. SCOPE

This QIP applies to all individuals within the OSTI-LLNL Project who generate, receive, identify, and maintain, use, or dispose OSTI-LLNL records, to meet the requirements of the OSTI-LLNL Quality Assurance Plan (QAP) which implements the U.S. Department of Energy (DOE) Office of Civilian Radioactive Waste Management (OCRWM) *Quality Assurance Requirements and Description* (QARD), DOE/RW-0333P. This procedure has been prepared in accordance with OSTI-LLNL-QIP-5.0, *Preparing the Quality Assurance Plan and Quality/Technical Implementing Procedures.*

3. PROCEDURE

3.1 Creating Records

3.1.1 QA records shall be classified as lifetime or nonpermanent. Attachment 1, Classifying Quality Assurance Records, lists the requirements for lifetime or nonpermanent records.

3.1.2 OSTI-LLNL-QIPs and Technical Implementing Procedures (TIPs) shall identify documents that will become QA records, as described in OSTI-LLNL-QIP-5.0.

3.1.3 The **Records Source** shall create records that are legible, accurate, complete, appropriate to the work accomplished, and identifiable to the activity(s) to which they apply. If creating records belonging to special categories (e.g., Privacy Act System of Records) or residing on non-paper media, see the additional instructions contained in Special Handling Requirements for Records (Attachment 2). Include the following information on the first page of each created record:

A. The date of record, full title, subject line, or description that identifies the contents of the record.

B. A QA designator of "QA: QA" for a QA record or "QA: N/A" for a non-QA record.

3.2 Correcting In-Process Records

If information on a record must be corrected, supplemented, or made legible during the creation of the record, the **Record Source** (or designee) shall correct or supplement the information in one of the following ways:

A. Re-create the record, correcting or adding the necessary information.

B. Line through the incorrect information (without obliterating the information) and, if applicable, insert the correct information in close proximity.

C. Transcribe or enhance faint characters.

D. Insert supplemental information.

Date and initial or sign, in close proximity to the lined out, inserted, or enhanced information.

3.3 Maintaining Records

3.3.1 General Protection of Records

The **Records Source** shall protect records according to the following:

A. Keep liquids away from the record to prevent damage from spills.

B. Keep smoking materials and other heat sources away from the record to prevent scorching or burning.

C. Keep magnetic media away from sources of magnetic fields to prevent loss of recorded information. Avoid stacking near telephones, radios, cassettes or compact disk players, and loudspeaker systems. Survey work areas to identify other sources of magnetic fields.

D. Avoid exposure of the record to excessive moisture, temperature, or light.

E. Keep the record in a secured area when not in use (e.g., a locked desk drawer, file cabinet, or office).

3.3.2 Special Handling of Records

Where a record category or media type requires special handling (e.g., audiovisual), exercise additional protection in accordance with

Attachment 2.

3.3.3 Compiling Records

The **Records Source** shall compile the records in hardcopy, compact disc, digital videodisc, or 3-1/2 inch diskette form and submit the records to the Records Coordinator.

3.4 Temporary Storage

OSTI-LLNL shall provide for temporary storage of QA records during processing, review, or use until turnover to OSTI/OCRWM for disposition, according to the following requirements:

A. QA in-process records shall be temporarily stored in a container or facility with a fire rating of 1-hour, or dual storage shall be provided.

B. For single storage, containers or facilities shall bear an Underwriters' Laboratories label (or equivalent) certifying 1-hour fire protection, or be certified by a person competent in the technical field of fire protection.

C. The maximum time limit for keeping QA records in temporary storage shall be 60 calendar days from the date of completion of the record.

3.5 Submittal of Records to OSTI/OCRWM

QA records and Non-QA Long-Term records shall be submitted to OSTI/OCRWM. Non-QA Short-Term records shall be maintained by OSTI-LLNL as directed by the **Project Manger** (PM) (or designee).

The **Records Coordinator** shall:

A. Verify the records package is complete and the records are legible and appropriate to the work accomplished.

B. Arrange the records within the records package in a chronological or otherwise logical order (i.e., grouping similar records together).

C. Complete Records Package Table of Contents (Attachment 3) or equivalent, using the instructions provided.

D. If the records package documents only a segment of an activity or task, verify that the records package contains all the appropriate records for the period of time stated.

E. If including previously processed records in a new records package, or if including a record that corrects information, and/or if including a record that needs to be cross-referenced, follow the instructions provided with Attachment 3.

F. Prepare electronic records submittal in accordance with disposition instructions in Attachment 2.

G. Submit the records package to OSTI/OCRWM by completing Attachment 4, Transmittal/Receipt Acknowledgement (TRA) or equivalent, using the instructions provided.

H. Complete "document preparation" by removing staples (de-stapling); repairing torn pages and frayed edges; removal of paperclips; and for indexing purposes, inserting colored separator sheets or labeling the start and end of the record.

I. Submit individual records to OSTI/OCRWM using Attachment 4, or equivalent, identifying the total number of pages (e.g., RPC=X pages).

J. Submit all QA records (individual or records packages) to OSTI/OCRWM within 60 calendar days of stamping, initialing, or signing and dating as completed.

K. Any post-work or closure activity required to prepare the records package for submittal (e.g., check for completeness, document preparation, TOC and/or records transmittal preparation) must be completed within the 60 calendar day requirement.

L. All QA records packages taking a year or longer to complete, may be submitted in annual (or if necessary, more frequent) supplements within 60 calendar days of one year from the earliest record date.

3.6 Correcting a Completed Record

3.6.1 Prior to Submission to OSTI/OCRWM When it has been identified that a completed record needs to be corrected, the **Records Source** shall take the following steps or complete a Record Problem Report (RPR) (Attachment 6).

A. If the procedure that generates records contains a process for changing those records, use that process.

B. If the procedure that generates records does not contain a process for changing those records, use the process described in Section 3.2.

C. If information on a record cannot be corrected to comply with the requirements of Section 3.1.3 and the information does not impact the technical meaning or content of the record or create a condition adverse to quality, provide a signed and dated statement documenting this and submit it with the record. Otherwise, complete an RPR (Attachment 6).

3.6.2 After Submission to OSTI/OCRWM

If the record needing to be corrected has already been processed by the RC, the **Records Source** shall obtain a copy of the record, correct the record in

accordance with Section 3.6.1 and submit the new record to the Records Coordinator.

3.7 Reporting Record Problems

The **Record Source/Records Coordinator** shall identify record problems that include:

A. A record cannot be corrected to meet record acceptance requirements.

B. A record cannot be located.

C. A processed record is found to be missing information or is unusable.

Resolve the problem or initiate an RPR (Attachment 6) or Condition Report per OSTI-LLNL-QIP-16.0, *Condition Reporting and Resolution*, as deemed appropriate.

4. RECORDS

Records listed below shall be collected and submitted to OSTI/OCRWM in accordance with this procedure. Records shall be submitted as individual records or included in a records package, as specified.

4.1 QA Records

Records Package:

TRA (required when transmitting QA records packages to OSTI/OCRWM Records Package)
TOC and Continuation Page (required when transmitting QA records packages to OSTI/OCRWM)
Special Instruction Sheet

Individual Records:

TRA
Special Instruction Sheet
RPR

4.2 Non-QA Long-Term Records

Records Package:

TRA (required when transmitting records packages to OSTI/OCRWM)
Records Package TOC and Continuation Page (required when transmitting records packages to OSTI/OCRWM)
Special Instruction Sheet

Individual Records:

RPR

4.3 Non-QA Short-Term Records (three years or less retention)

None.

5. RESPONSIBILITIES

5.1 The **Records Source** is responsible for creating a legible record that is complete, accurate, and appropriate to the work performed, protecting records from damage, correcting records as needed and initialing and dating any corrections.

5.2 The **Records Coordinator** is responsible for providing temporary storage for QA Records; reviewing records for completeness and legibility; assembling records packages in a logical sequence; preparing records for submittal, and submitting records to OSTI/OCRWM. The Records Coordinator shall also work with the Records Source or OSTI/OCRWM to correct record problems or submit an RPR.

6. ACRONYMS AND DEFINITIONS

6.1 Acronyms

CD	Compact Disk
CR	Condition Report
DOE	Department of Energy
LLNL	Lawrence Livermore National Laboratory
OCRWM	Office of Civilian Radioactive Waste Management
OSTI	Office of Science & Technology and International
QA	Quality Assurance
QARD	Quality Assurance Requirements and Description
RC	Records Center
RPR	Record Problem Report
TDMS	Technical Data Management System
TRA	Transmittal/Receipt Acknowledgement

6.2 Definitions

Accession Number: A unique identifier assigned to each record or group of records received by the RC. The format for the accession number is AAA.YYYYMMDD.XXXX, where AAA represents the RC location that assigned the number; YYYYMMDD is the year, month, and day the accession number was assigned; and XXXX is a sequential number reset to 0001 at the beginning of each day. The Fiscal Year is from October 1 through September 30 of the following year (e.g., Fiscal Year 2004 would be from October 1, 2003 through September 30, 2004).

Annual and Annually: For the purposes of this procedure, all references to develop, inventory, inspect, review, produce, or sample on an annual basis shall be understood as the beginning of each Fiscal Year.

Audiovisual Records: Records in pictorial or aural form that include still and motion media, sound recordings, graphic works, mixed media, and related finding aids and production files.

Cross-referencing: Relating a record to one or more records within the records system. This relationship is communicated through OSTI/OCRWM to the RC in accordance with Attachment 3, Records Package Table of Contents (TOC) and Continuation Page, or Attachment 4, Transmittal/Receipt Acknowledgement (TRA), and is reflected in the bibliographic header information in the records system.

Long Term Record: Records having a retention period of more than three years.

Permanent (Lifetime) Records: QA Records that meet the following requirements are classified as Permanent or Lifetime: Documents that provide evidence of the quality of items on a *Q-List*; documents that provide evidence of the quality of activities related to items on a *Q-List*; documents that provide evidence of the quality of site characterization data and samples; documents that provide evidence of those activities that provide data used to assess the potential dispersion of radioactive materials from the licensed facility; documents that provide evidence of the quality of the production process for the high-level waste form and acceptance of the high-level waste form itself; documents that provide evidence of the quality of those activities associated with the characterization of DOE spent fuel, and conditioning through acceptance of DOE spent fuel; personnel training and qualification documents for individuals executing QA program requirements; and documents which are implementing documents, per OSTI-LLNL-QIP-5.0.

Privacy Act System of Records: A group of any records under OSTI-LLNL control from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particulars assigned to the individual. These records are to be maintained in a locked cabinet, with access restricted to OSTI-LLNL QA Staff.

Quality Assurance (QA) Record: A completed document(s) (includes records packages as prescribed in applicable procedures or procurement documents, or other medium) that furnishes evidence that items or work comply with requirements of the QARD, DOE/RW-0333P. QA records may be originals or legible copies.

Record Source: An individual or organization authorized (e.g., by procedure, delegation, responsibilities of position, or statement of work) to create, approve, correct, or submit a record.

Records: All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of the data in them (definition of Records, 44 U.S.C. 3301). Records may be originals or copies but not extra copies.

Records Coordinator: Individual who is designated to serve as the resource person for the OSTI-LLNL Project on records creation, use, maintenance, retention, storage, and disposition.

Records Package: A collection of records supporting one topic or subject. Examples are records 1) supporting a QA audit, 2) supporting a single procurement, 3) created in the development of a technical product, or 4) supporting a scientific study.

Records Center (RC): An organization within, or under the technical direction of LLNL responsible for receiving, screening, accessioning, processing, storing, protecting, preserving, retrieving, and carrying out the disposition of records and records packages.

Short-term Records: Those records with a retention period of three years or less.

Supplement a Records Package: The process of adding records to a previously processed records package. The term "supplement" in this procedure refers exclusively to records packages as a unit and not to the records that comprise the records package or to individual records. For example, a previously processed training records package may be supplemented each year with additional training records for an individual.

Temporary Storage of QA Records: Storage of QA records during processing, review, or use until submitted to the RC. Temporary storage is a container or facility that is certified by a person competent in fire protection or that bears an Underwriters Laboratories label (or the equivalent) certifying one-hour fire protection.

7. REFERENCES

44 U.S.C. 3301, Disposal of Records

10 CFR 1008, Energy: Records Maintained on Individuals (Privacy Act)

DOE/RW-0333P, *Quality Assurance Requirements and Description*

OSTI-LLNL-QIP-2.2, *Planning for Science Activities*

OSTI-LLNL-QIP-5.0, *Preparing the Quality Assurance Plan and Quality/Technical Implementing Procedures*

OSTI-LLNL-QIP-16.0, *Condition Reporting and Resolution*

Privacy Act of 1974

8. ATTACHMENTS

Attachment 1 – Classifying Quality Assurance Records

Attachment 2 - Special Handling Requirements for Records

Attachment 3 - Records Package Table of Contents (TOC) and Continuation Page

Attachment 4 - Transmittal/Receipt Acknowledgement (TRA)

Attachment 5 – Special Instruction Sheet

Attachment 6 – Record Problem Report (RPR)

9. REVISION HISTORY

2/25/05 Revision 0, Modification 0

Initial issue.

10. APPROVAL

Preparer: Leigh Gouveia — Date: 2/25/05

Technical Reviewer: QINHONG HU — Date: 2/25/05

QA Reviewer: Victor J. Barish Jr — Date: 2/25/05

Project Manager: DAVID B. McCALLEN — Date: 2/25/05

Classifying Quality Assurance Records

Lifetime

1. Documents that provide evidence of the quality of site characterization data and samples.

2. Documents that provide evidence of those activities that provide data used to assess the potential dispersion of radioactive materials from the licensed facility.

3. Personnel training and qualification documents for individuals executing OSTI-LLNL QA Program requirements.

4. Plans and Implementing documents (i.e., Quality Assurance Plan, TWPs, QIPs and TIPs), as described in OSTI-LLNL-QIP-2.2, *Planning for Science Activities,* and OSTI-LLNL-QIP-5.0.

Nonpermanent

Documents that do not meet the requirements for lifetime QA records, but provide objective evidence that the OSTI-LLNL QA Program has been properly executed shall be classified as nonpermanent QA records.

SPECIAL HANDLING REQUIREMENTS FOR RECORDS

Record Categories Requiring Special Handling

Privacy Act System of Records

The **Records Source/Records Coordinator** shall ensure that the identified records systems contain only the information on an individual that is relevant and necessary to accomplish the work of the government, and that such information is obtained only from the individual, is accurate, and includes the appropriate Privacy Act System of Records Notice.

Ensure that safeguards exist to protect Privacy Act information from unwarranted disclosure.

Record Media Types Requiring Special Handling

Audiovisual Records

Maintenance and Use:

1. Ensure audiovisual records are stored in facilities that are secure from unauthorized access and safe from fire, water, flood, chemical or gas damage, extreme variables in temperature and humidity, and other harmful conditions, such as insects and vermin.

2. Ensure continuous custody of permanent audiovisual records.

3. Make loans of audiovisual records outside of OSTI-LLNL only if a record copy is maintained in OSTI-LLNL custody at all times.

4. Ensure steps are taken to prevent accidental or deliberate alteration or erasure of audiovisual records.

Electronic Records

Maintenance and Use:

1. Maintain adequate, up-to-date technical documentation for each electronic information system that produces, uses, or stores data files. The minimum documentation required is as follows:

   - Physical and technical characteristics of the records, including record layout that describes each field name, size, starting or relative position, and a description of the data form (such as alphabetic, zoned decimal, packed decimal, or numeric)

   - A data dictionary and a description of the relationship between data elements in data bases; and any other technical information needed to read or process the records.

2. Consider the following factors before selecting a storage medium or converting/migrating from one medium to another for the maintenance of electronic records:

   - The authorized life of the records, as determined during the scheduling process.
   - Maintenance necessary to retain and protect the records.
   - The cost of storing and retrieving the records.
   - The records density.
   - The access time to retrieve stored records.
   - The portability of the medium (that is, selecting a medium that will run on equipment offered by multiple manufacturers) and the ability to transfer the information from one medium to another (such as from optical disk to magnetic tape).
   - That records retention and disposition requirements are incorporated into the system's design.

Submitting electronic records:

1. When submitting electronic records to OSTI/OCRWM, excluding e-mail messages, provide two copies on compact disc, digital videodisc, or 3-1/2 inch diskette if a paper form is not generated. Electronic media submitted to OSTI/OCRWM may not contain software executable files or software applications.

2. Provide the following documentation in paper form when submitting electronic records. This information may be provided on Attachment 5, Special Instruction Sheet.

   - A file directory listing all files contained on the electronic media.
   - A date; title; subject or description that identifies the contents of the record; author name; and author organization.
   - Documented validation of complete file transfer
   - QA designator of "QA: QA" for a QA record, and "QA: N/A" for a non-QA record.
   - Information to identify the record with its associated item or activity (e.g., records supporting data should reference the Data Tracking Number or the Software Tracking Number).
   - Name of software required to play back, import, export, recompile, or preserve the record. Software must be a current project standard or must be controlled in accordance with OSTI-LLNL-QIP-SI.0, *Software Management*.

3. When submitting data, verify with Technical Data Management (TDM) whether or not data requires TDM capture.

4. For data not requiring TDM capture, create a Special Instruction Sheet and submit the Special Instruction Sheet and data to OSTI/OCRWM.

5. For data requiring TDMS capture, ensure that data is in the Technical Document Management System, create a Special Instruction Sheet, and submit the Special Instruction Sheet and two archive copies of the data to OSTI/OCRWM.

OSTI-LLNL

Records Package Table of Contents (TOC)

1. QA:

Page 1 of

OSTI-LLNL Document ID FY _____

2. Package ☐ Yes ☐ No

Package TOC Accession No.: _____

3. Traceability Designator

4. Total Page Count

5. Title/Description of Records Package

6. No	7. Record Date	8. Title/Subject/Description of Records	9. Pages

10. Subtotal Page Count

11. Record Source (Print Name)	12. Record Source (Signature)	13. Date

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RECORDS PACKAGE TABLE OF CONTENTS (TOC)
CONTINUATION PAGE

QA:

Page of

OSTI-LLNL Document ID FY

5. Title/Description of Records Package

6. No	7. Record Date	8. Title/Subject/Description of Records	9. Pages

10. Subtotal Page Count 0

RECORDS PACKAGE TABLE OF CONTENTS AND CONTINUATION PAGE INSTRUCTIONS

Record Coordinator:

1. Enter the QA designator from the first page of the record.
2. Package Supplement: If the records listed in Block 5 supplement a previously processed records package, check "Yes." If the records listed in Block 5 comprise a new records package, check "No." Package TOC Accession No.: If the preceding "Yes" box is checked, enter the accession number assigned to the TOC of the records package being supplemented. Otherwise, leave the space blank.
3. Traceability Designator: Enter words or codes that aid in identifying this records package with other activities or items (e.g., Data Tracking Numbers supported by this records package), if applicable.
4. Total Page Count: Enter the page count that represents the total of all records, including the TOC.
5. Title/Description of Records Package: Enter a title or description that clearly represents the records package. Avoid using acronyms.
6. Number: Beginning with number 1, which is listed, enter a sequential number for each record title being listed on the TOC (i.e., 1, 2, 3, 4 etc.).
7. Record Date: Enter the date the record was completed, or the date most relevant to facilitate the retrieval of the record.
8. Title/Subject/Description of Records: Enter a title or description that clearly identifies and describes each record or group of records. List the TOC as the first record in the records package. If records are grouped (e.g., comment sheets) under one line item on the TOC, they will be indexed as a single entry in the records system. Ensure attachments and enclosures that need to be retrieved independently are identified on the TOC as a separate line item and have all the information required by Section 3.1 of this procedure.
   - To include a previously processed record in a records package, list the title of the previously processed record on the records package TOC, include the accession number for the previously processed record, and indicate "0" in the page count column. Do not include the previously processed record in the records package.
   - When including a record in a records package that corrects information in a previously processed record, list the title or description of the new record, identify it as a corrected record, and list the accession number assigned to the previously processed record being corrected (e.g., This record corrects MOL.19940301.0001.).
   - If including a record that needs to be cross-referenced to or viewed with a previously processed record, list the title or description of the new record and the accession number of the previously processed record that must be cross-referenced. (e.g., Cross-reference MOL.19990301.0004.).
9. Pages: Include a page count that represents the number of pages for each record. Only count pages that contain information (i.e., do not count the blank sides of pages).

10. Subtotal Page Count: Enter the page counts for the records listed on the first page of the TOC, including the TOC.
11. Record Source (printed name): Enter a typed or printed Record Source name.
12. Record Source (signature): Enter a Record Source signature.
13. Date: Enter the date the records package was signed as completed.

OSTI-LLNL	**TRANSMITTAL/RECEIPT ACKNOWLEDGEMENT (TRA)**	1. QA: Page: 1 of: 1

2. No.	3. Record Date	4. Title/Description of Records	5. No. of Pages

6. Comments

7. Source of TRA	8. Organization	9. Mailstop	10. Date
11. OSTI/OCRWM Recipient (Print Name, Phone Number, and Sign)		12. Date	
13. Sender (Print Name and Sign)	14. Organization	15. Mail Stop	16. Date
17. Source of TRA (Print Name and Sign		18. Date	
19. OSTI/OCRWM Acceptance (Print Name, Phone Number, and Sign)		20. Date	

TRANSMITTAL/RECEIPT ACKNOWLEDGEMENT INSTRUCTIONS

Records Coordinator:

1. Enter the QA designator as found on the Records Package TOC and the page numbering for the TRA.
2. Number: Beginning with number 1, which is listed, enter a sequential number for each record title being listed on the transmittal (i.e., 1, 2, 3, 4 etc.).
3. Record Date: Enter the date the record or records package was completed, or the date most relevant to facilitate the retrieval of the record or records package.
4. Title/Subject/Description of Records: Enter a title, subject, or description as listed on the Records Package TOC.
5. No. of Pages: Include a page count that represents the number of pages for each record or records package. Only count pages that contain information (i.e., do not count the blank sides of pages).
6. Comments: Provide any additional information about the record(s) or records package(s) that needs to be conveyed to OSTI/OCRWM.
7. Source of TRA: Enter a typed or printed name, and signature, that represents the name of the person transmitting the record(s) or records package(s).
8. Organization: Enter the Records Coordinator's respective organization.
9. Mailstop: Enter the Records Coordinator's mailstop.
10. Date: Enter the month, day, and year (e.g., 07/01/96) the transmittal is signed by the Records Coordinator.

RC Staff: Complete blocks 11 through 16.

Records Coordinator:

17. Source of TRA: To be signed by the Source of the TRA upon receipt if a record(s) is returned by the RC.
18. Date: To be completed by the Records Coordinator upon receipt if a record(s) is returned by the RC.

RC Staff: Complete Blocks 19 and 20.

OSTI-LLNL	**SPECIAL INSTRUCTION SHEET**	1. QA: Page 1 of

FY

This is a placeholder page for records that cannot be scanned.

2. Record Date	3. Accession Number

4. Author	5. Authorization

6. Title/Description

7. Document	8. Version

9. Document	10.

11. Access Control

12. Traceability Designator

13. Comments

SPECIAL INSTRUCTION SHEET INSTRUCTIONS

The Special Instruction Sheet will be imaged in place of non-paper records and paper records that cannot be imaged, or with paper records that lose meaning when imaged (e.g., oversized color coded text or graphics greater than 11 x 17).

Records Coordinator:

1. Enter the QA designator and page numbering in the upper right corner of the form.
2. Record Date - Enter the date the record was completed. If there is no date, estimate a date, followed by a "C" to indicate a created date.

RC Staff completes block 3.

Records Coordinator:

4. Author Name(s) - Enter the name of each person responsible for the creation of the record.
5. Author Organization - Enter the name of the author's organization at the time the record was created or the name of the organization responsible for creating the record when there is no specific author.
6. Title/Description - Enter a title or description that clearly identifies and describes the record.
7. Document Number(s) - Enter any identifying control number(s) associated with the record to distinguish it from other records. Control numbers are usually assigned by the issuing agency or organization.
8. Version Designator - Enter the version or revision number, draft designator, or controlled document status of the record if it has, or will have, multiple iterations.
9. Enter type of document (e.g., data, technical report, etc.).

RC Staff completes blocks 10 and 11.

Records Coordinator:

12. Traceability Designator - Enter identifiers that have been assigned to a record in order to link it to a specific activity or record in another database. Examples include Document Identifiers and Data Tracking Numbers.

Records Coordinator/RC Staff

13. Comments - Enter any additional remarks that will provide information about the record and where it is located. If the nonpaper record is a correction to a previously processed record, explain the correction in this block and reference the accession number of the previously processed record.

OSTI-LLNL
Record Problem Report (RPR)

QA: N/A

Complete only applicable items.

1. RPR # _____

2. Problem Description

3. Initiated by:

_____ Name

_____ Telephone

_____ Date

4. Initiate OSTI-LLNL-QIP-16.0? ☐ Yes ☐ No Initials of OSTI-LLNL QA Manager (or designee): _____

5. Actions taken to review and resolve problem

6. Actions completed:

_____ QA Manager (or designee)

_____ Date

INSTRUCTIONS FOR COMPLETING THE RECORD PROBLEM REPORT

1. The **Records Coordinator** shall assign a number for the RPR.

2. Problem Description: Describe the nature of the record's problem. Give information as specifically as possible. Examples:

   •Records package for ANL-NBS-MD-000001 is missing a comment sheet from J. Doe.
   •Record with accession number MOL.20001002.0004 needs to be corrected. Incorrect document identifier is listed on Page 5.

3. Initiated By: Enter the name and telephone number of the person submitting the RPR and the date the problem was submitted.

4. The OSTI-LLNL QA Manager indicates whether OSTI-LLNL-QIP-16.0 applies; if so, enter initials and initiate a Condition Report (CR) per OSTI-LLNL-QIP-16.0, *Condition Reporting and Resolution.*

5. Actions Taken to Review and Resolve Problem: Describe the actions taken to review and resolve the problem. If OSTI-LLNL-QIP-16.0 does apply, reference the OSTI-LLNL-QIP-16.0 CR number in this block

6. Actions Completed: QA Manager (or designee) closes the RPR by signing, attesting to the completion of action or issuance of OSTI-LLNL-QIP-16.0 documentation.